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From: Debra Beausoleil, Office of Integrated Surveillance and Informatic Services

CC: Al DeMaria, Sally Cheney, Dawn Heisey, Tracy LaPorte, Palma Caron, Jacki Dooley

Date: June 29, 2006

Re: Statewide Records Retention Schedule Version June, 2006

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In June 2006, the Massachusetts Records Conservation Board published a new version (06/06) of the Massachusetts Statewide Records Retention Schedule. The schedule can be downloaded from the Massachusetts Archives website at:  
<http://www.sec.state.ma.us/arc/arcrmu/rmuidx.htm>

This new retention schedule supersedes all other approved schedules. If a record series is not included in this new schedule, the Records Conservation Board may approve the destruction or transfer of records listed on previously approved disposition schedules. Retention schedules that are relevant to the Bureau of Communicable Disease Control are listed below.

- **Section A - Administration: Grants and Contracts**

#### **Contract and Agreement Negotiation Records (A9-1)**

Documents the process to enter into a contract or agreement, or understanding. Includes background support materials, drafts, memos, letters, and related correspondences.

*Retention Period:*

- a.) Where contracts and agreements were finalized: Retain 6 years after contract expiration.
- b.) All other records: Retain until administrative use ceases.

Note: See also record series "Labor Relations Records (M2-2)".

30 BMGL; 260 MGL 1, 2

#### **Grant and Contract Administration Records (A9-2)**

Documents all phases of the administration of federal and other grants, contracts, sponsored research projects, and agreements from negotiation to final performance such as grants-in-aid, state contracted services, and vendor contracts. Includes negotiation issues documentation, memos of understanding, agreements, contracts, amendments, terms and conditions, budget proposals, and related correspondence.

*Retention Period:*

- a.) Research projects or those reflecting the mission or direction of the agency: Review by the Archives 6 years after final payment or close.
- b.) Summary records such as proposal, award letter and selected deliverables and reports: Permanent.
- c.) All other records: Retain 6 years after contract final payment or end of litigation which ever is later.

Notes:

1. Do not use this record series for contracts within a larger project such as construction project such as a construction project.  
See record series "Construction Project Management Records (C5-1)".
2. See also record series "Grant and Contract Cost Accounting Records (D1-2)".
3. See also record series "Grant Sponsorship Records (A9-4)".

#### **Grant Development and Proposal Records (A9-3)**

Documents efforts to develop and submit grant proposals for outside funding. Includes discussion notes, lists of potential topics, sample grant proposals from outside agencies, secondary copies of rejected and accepted grant proposals, and related correspondence.

*Retention Period:*

- a.) Retain summary planning documents and proposals which reflect the direction of the agency: Permanent.
- b.) Unfunded grants: Retain 3 years.
- c.) All other records: Retain until administrative use ceases.

### **Grant Program Records (A9-4)**

Documents the administration of programs to grant funds (including federal funds), or aid to individuals, institutions, the community or agencies based on predetermined qualifications and subsequent review. Includes grant applications, review support materials and notes, and final determinations, and subsequent follow-up monitoring and review.

#### *Retention Period:*

- a.) Grant program establishment and policy documentation: Permanent.
- b.) Narrative reports and deliverables, award letters, proposals, and other substantive correspondence: Review by the Archives.
- c.) Contract and payment documentation and all other records: Retain 6 years after close of grant or after any litigation which ever is later.

Notes: See also record series "Grant and Contract Cost Accounting Records (D1-2)".

## • **Section B - Legal and Regulatory : Public Records**

### **Public Records Request Records (B2-1)**

Documents requests for access to agency records by members of the public, the press or other agencies, or employees as allowed for in Massachusetts General Laws Chapter 66 or other statutes. Includes requests, powers of attorney, subpoenas, court orders, rationales for redaction or withholding information, response letters, Supervisor of Public Records opinions, summary listing of information provided, and related correspondence.

#### *Retention Period:*

- a.) Retain 3 years after last activity.

4 MGL 7(26); 66 MGL 10; 66A MGL; 3A MGL 63; 62C MGL 20-23; 127 MGL 1A, 1B; 127 1(d), 1(q); 103 CMR 918.02

## • **Section D – Fiscal: Accounting**

### **Grant and Contract Cost Accounting Records (D1-2)**

Documents the fiscal accounting of grants and contracts monies in compliance with federal, state, or private contractual guidelines and reporting requirements. Include budget plan, account set-up and changes documents, encumbrance and payment backup supporting documentation, matching fund documents, procurement documentation, monthly expense reports, time and effort reports, and invoices and related correspondence.

#### *Retention Period:*

- a.) Retain 6 years after last payment.
- b.) Documentation relating to the sealed portion of contracts: Retain 20 years after last payment.

Note: For contract records associated with a project see record series "Construction Project Cost Accounting Records (C5-4)".

### **State Municipal Funding Records (D3-1)**

Documents payments of local aid to municipalities. Includes budget analysis, applications, budget allotments, and related correspondence.

#### *Retention Period:*

- a.) Retain 6 years

- **Section F - Information and Records Management: System Data**

#### **Data Source Records (F7-1)**

Consists of original data source materials such as data input forms, records received from outside sources on non-standard or transitional formats, media, or software, or any other newly acquired materials that are scheduled to be reformatted and/or captured in a uniform manner by the agency's micrographic or electronic record-keeping system.

##### Retention Period:

- a.) Retain source documents until data capture is verified on the electronic record-keeping system.

##### Notes:

1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any records with permanent retentions.
3. See also record series "Retrospective Data Conversion Records (F7-8)".

#### **Legacy Data Records (F7-7)**

Consists of data from superseded or defunct systems where upgrade or conversion has not occurred, or may not occur. Materials include hardcopy, magnetic tapes, on-line data and program applications, floppy disks, CD-ROM, DVD-ROM, data punch cards, or index cards.

##### Retention Period:

- a.) Retain data based on applicable record series. Where record series is unidentified such as for a defunct and closed record series submit records to the Archives to determine proper retention periods and to determine if reformatting is necessary to assure proper preservation of the data for the duration of the retention periods

Note: It may be necessary to retain original hardware and software along with the data to assure files can be read and accessed for the duration of the retention periods.

#### **Retrospective Data Conversion Source Records (F7-8)**

Consists of records from existing files that have been selected for conversion into other formats or systems, especially electronic scanning applications, databases, and microfilm. Includes documents, images, audio-visual tapes, and data.

##### Retention Period:

- a.) Retain original source materials until verified as complete and legible on new system format's.

##### Notes:

1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any of these records.
3. See also record series "Data Source Records (F7-1)".

- **Section K – Health and Human Services: Patient**

#### **Drug Reactions, Adverse Records (K6-1)**

Documents reactions to medications and drugs.

##### Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient of community records, refer to K6-2 or K6-5, as applicable

- **Section K – Health and Human Services: Public Health**

#### **Infectious Disease Case Files (K9-1)**

Documents Department of Public Health identification of cases of infectious disease and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, outreach notes, preventative actions, and related correspondence.

*Retention Period:*

- a.) Verified cases: Retain 10 years.
- b.) Withdrawn, non-jurisdictional, or revoked cases: Retain 1 year.

#### **Infectious Disease Outbreak Records (K9-3)**

Documents Department of Public Health identification of infectious disease outbreaks and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, interview notes, questionnaires, data analysis, summary reports, preventative actions, and related correspondence.

*Retention Period:*

- a.) Summary reports and substantive analysis and support data: Permanent.
- b.) All other records: Retain 10 years.

#### **Immunization Records (K9-4)**

Documents the immunization of staff, patients, students or the general public where the facility provided the immunization.

*Retention Period:*

- a.) Retain for the life of the immunization.

Note: Where these records are part of a clients DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

#### **Human and Animal Subjects Protection Records (K9-8)**

Documents the monitoring of humans and animals for research purposes. Includes research protocols, background support materials, animal conditions reports, and Institutional Review Board decisions and notes.

#### **Quarantine Health Records (K9-9)**

Documents the quarantine of patients or staff due to fear infection or disease spreading to others. Include quarantine orders, background materials, and related correspondence.

*Retention Period:*

- a.) Retain summary documentation: Permanent.
- b.) All other records: Retain 10 years.

#### **Infection and Communicable Disease Control Records (K9-10)**

Documents the monitoring and control of infectious disease within the institution. Includes monitoring and reporting documents, reports, and related correspondence.

*Retention Period:*

- a.) Retain summary documentation: Permanent.
- b.) All other records: Retain 10 years.

### **Community Based Service Case Files (K9-13)**

Documents individuals serviced by programs created to provide public health services to local communities. Includes needs assessments and profiles, services case files, and related correspondence.

#### Retention Period:

- a.) Children's files: Retain 30 years.
- b.) All other case files: Retain 6 years after close.
- c.) Denied or withdrawn applicant files: Retain 3 years.

### **Epidemiology Case Records (K9-14)**

Documents the positive results of communicable reportable diseases. Test results of communicable disease: Malaria, Typhoid, Measles, Mumps, Rubella, Leprosy, Salmonellas, Rabies, and Encephalitis. Doctors and hospitals submit samples.

#### Retention Period:

- a.) 30 years

Note: A duplicate resides in a database (electronic) at the Local Board of Health.

### **Report of Infectious Diseases (K9-15)**

This is a record of incidence of infectious disease reported by a doctor, laboratory, clinic or hospital. These reports from the Boards of Health of cities and towns listing: name, date, age, sex, address and disease. Towns list them alphabetically.

#### Retention Period:

- a.) 7 years

## **• Section K – Health and Human Services: Public Health**

### **Death Records**

Documents deaths of individuals. Includes doctor's report, death certificates, logs and registers, and related correspondence.

#### Retention Period:

- a.) Permanent.